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PTO/SB/05 (11-00)

Approved through 10/31/2002. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. KOJIM-448

First Inventor Takanobu TAKEDA et al.

Title SILICON-CONTAINING POLYMER, RESIST COMPOSITION AND PATTERNING PROCESS

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 56]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 3]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information: Examiner _____

of prior application No: _____ / _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



23599

PATENT TRADEMARK OFFICE

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Anthony J. Zelano

Registration No. (Attorney/Agent)

27,969

Signature

Date

March 1, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

03/01/02
1132 U.S. PTO

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 1038

Complete if Known

| | |
|----------------------|-----------------|
| Application Number | Unassigned |
| Filing Date | March 1, 2002 |
| First Named Inventor | Takanobu TAKEDA |
| Examiner Name | Unassigned |
| Group / Art Unit | Unassigned |
| Attorney Docket No. | |

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 13-3402

Deposit Account Name Millen, White, Zelano & Branigan, P.C.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code | Small Entity Fee Code | Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|----------|------------------------|----------|
| 101 | 201 | 740 | Utility filing fee | 740 |
| 106 | 206 | 330 | Design filing fee | |
| 107 | 207 | 510 | Plant filing fee | |
| 108 | 208 | 740 | Reissue filing fee | |
| 114 | 214 | 160 | Provisional filing fee | |

SUBTOTAL (1)

(\$) 740

2. EXTRA CLAIM FEES

Total Claims 21 -20** = 1 X Fee from below 18 = Fee Paid 18
Independent Claims 1 -3** = 0 X Fee from below 0 = Fee Paid 0
Multiple Dependent 1 X Fee from below 280 = Fee Paid 280

| Large Entity Fee Code | Small Entity Fee Code | Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|----------|--|----------|
| 103 | 203 | 18 | Claims in excess of 20 | |
| 102 | 202 | 84 | Independent claims in excess of 3 | |
| 104 | 204 | 280 | Multiple dependent claim, if not paid | |
| 109 | 209 | 84 | ** Reissue independent claims over original patent | |
| 110 | 210 | 18 | ** Reissue claims in excess of 20 and over original patent | |

SUBTOTAL (2)

(\$) 298

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

| Large Entity Fee Code | Small Entity Fee Code | Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|----------|--|----------|
| 105 | 205 | 130 | Surcharge - late filing fee or oath | |
| 127 | 227 | 50 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 139 | 130 | Non-English specification | |
| 147 | 147 | 2,520 | For filing a request for reexamination | |
| 112 | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 115 | 215 | Extension for reply within first month | |
| 116 | 216 | 400 | Extension for reply within second month | |
| 117 | 217 | 920 | Extension for reply within third month | |
| 118 | 218 | 1,440 | Extension for reply within fourth month | |
| 128 | 228 | 1,960 | Extension for reply within fifth month | |
| 119 | 219 | 320 | Notice of Appeal | |
| 120 | 220 | 320 | Filing a brief in support of an appeal | |
| 121 | 221 | 280 | Request for oral hearing | |
| 138 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 240 | 110 | Petition to revive - unavoidable | |
| 141 | 241 | 1,280 | Petition to revive - unintentional | |
| 142 | 242 | 1,280 | Utility issue fee (or reissue) | |
| 143 | 243 | 460 | Design issue fee | |
| 144 | 244 | 620 | Plant issue fee | |
| 122 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 123 | 130 | Petitions related to provisional applications | |
| 126 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 246 | 740 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 249 | 740 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 279 | 740 | Request for Continued Examination (RCE) | |
| 169 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 0

SUBMITTED BY

Complete (if applicable)

| | | | | | |
|-------------------|-------------------|---------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Anthony J. Zelano | Registration No. Attorney/Agent | 27,969 | Telephone | (703) 243-6333 |
| Signature | | | | Date | March 1, 2002 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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